

DIVISION OF MANAGEMENT & BUDGET SERVICES

New York State Department of Environmental Conservation

625 Broadway, 10th Floor, Albany, New York 12233-5010

Phone: (518) 402-9228 • Fax: (518) 402-9023

www.dec.ny.gov

NEW YORK STATE CLEAN WATER STATE REVOLVING FUND FEDERAL FISCAL YEAR 2016 CAPITALIZATION GRANT ATTACHMENTS

The following attachments to the electronically submitted Capitalization Grant application forms are contained in this PDF:

- Additional Key Contacts
- EFC CWSRF FFY 2016 Estimated Administrative Budget
- DEC CWSRF FFY 2016 Estimated Administrative Budget
- Source of State Match
- Certification of Distribution of Application Review Package and Evidence of Compliance with Intergovernmental Review (State Agency Notice of Prospective Application for Federal Aid)

New York State Department of Environmental Conservation transmitted the SF-424b, Certification Regarding Lobbying, and 4700-4 Preaward Compliance form in a 'bundle' via letter dated April 7, 2015.

The following documents will be submitted under separate cover

- Final FFY 2016 Intended Use Plan (IUP)
- Attorney General's Certification
- MBE/WBE Utilization under Federal Grants, etc. (EPA form 5700-52A) – Submitted under separate cover quarterly as required



ADDITIONAL KEY CONTACTS

(Use as many sheets as needed.)

Major Co-Investigators: *Individual responsible for the completion of major portions of the proposed work.*

Name: William A. Brizzell, Jr., P.E.

Title: Program Manager of Technical Support Section

Mailing Address: NYS Environmental Facilities Corporation

625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: william.brizzell@efc.ny.gov

Web URL: www.efc.ny.gov

Major Co-Investigators: *Individual responsible for the completion of major portions of the proposed work.*

Name: Cheryle Webber, P.E.

Title: M/WBE Manager

Mailing Address: NYS Environmental Facilities Corporation

625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: cheryle.webber@efc.ny.gov

Web URL: www.efc.ny.gov

Major Co-Investigators: *Individual responsible for the completion of major portions of the proposed work.*

Name: _____

Title: _____

Mailing Address: _____

Phone Number: _____

FAX Number: _____

E-Mail Address: _____

Web URL: _____

**CLEAN WATER STATE REVOLVING FUND PROGRAM
FFY 2016 ESTIMATED ADMINISTRATION BUDGET**

Grant Funds 4% Administration

FFY 2016 grant 8,000,000

<u>FFY 2016 Projected Expenses Category</u>	<u>Total Eligible Administration</u>	<u>Total Fundable Eligible Administration Cost</u>
Personal Service	6,180,000	
Fringe Benefits (57.66%)	3,563,000	
Travel	43,000	
Equipment	75,000	
Supplies & Materials	87,000	
Contractual Services	51,200	
Other Budget	88,100	
Total Direct Expenses	10,087,300	
Indirect Costs (17.08%)	1,664,000	
EFC Expenses	11,751,300	8,000,000
Expected DEC Grant Draw Expenses	883,997	
Total Expenses	12,635,297	

CWSRF FFY16 BREAKDOWN OF ADMIN. PS and NPS EXPENSES

Personal Service Costs:

See attached list 6,180,000

Fringe benefits (57.66%)

Consists of health insurance, Social Security, pensions, Worker's Compensation, dental insurance, unemployment insurance, vision benefits, Medicare, Long Term Disability 3,563,000

NPS expenses:

Travel

The Corporation's responsibilities with the Program will have staff travel to IUP hearings, application workshops, client assistance meetings, inspections and bond pricing and closings in New York City for CWSRF bond issues 43,000

Equipment

Computer hardware such as servers (\$2,500 - \$5,000), CPUs, monitors, back up systems, security appliance for computer, Storage Area Network (SAN) (\$7,350 - \$17,150), printer, copiers, etc. 58,500

Office peripherals such as fax machines, file cabinets, desks and chairs, etc. 16,500

Supplies & Materials

Office supplies, computer software, hardware & maintenance 87,000

Breakdown of supplies & materials:

Computer software and supplies: toner cartridges, color printer supplies; software purchase: content management/workflow (\$24,500 - \$50,000) security software, software updates, maintenance, etc. 70,200

General office supplies: pens, pencils, copier paper, folders, calendars, calculators, etc. 16,800

CWSRF FFY16 BREAKDOWN OF ADMIN. PS and NPS EXPENSES

Contractual Services		51,200
Consultants		
Other Budget		88,100
Printing of the CWSRF IUP, training, insurance, postage, telephone & miscellaneous, etc.		
Printing	8,000	
Training (On going contract):	16,900	
Training would consist of applicable computer training, and SRF related training, i.e. CIFA, NYWEA, etc.		
Insurance: CW share of auto, computer, liability and property insurance	8,900	
Postage	9,800	
Telephone	25,200	
Miscellaneous: Subscriptions, books, journals and any other unforeseen program costs.	19,300	
Indirect costs (17.08%)		1,664,000
Expected DEC Grant Draw Expenses		883,997
Personal service, fringe and indirect costs		
	Grand Total	12,635,297

Note: All items anticipated to be purchased in FFY2016 with a cost over \$5,000 are listed within the Administrative Budget. Prior approval from EPA will be obtained before the purchase of each and every item that has a cost of \$5,000 or more.

Anticipated DEC CWSRF Personnel Budget for FFY 2016

PROGRAM	EMPLOYEE	TITLE	SALARY BASE	FRINGE BENEFITS	INDIRECT	TOTAL COST	
SRF- ADMINISTRATION	HAMMER, ROBERT MAGEE, RONALD	ENVIRNL PROGRAM SPEC 1	<div></div>	53.58%	4.45%		
		ENVIRNL ENGINEER 2			26.58%		
TOTAL - SRF ADMINISTRATION			\$156,516.00	\$83,861.28	\$10,696.79	\$251,074.07	
SRF - WATER	BRAYMER, SCOTT TARRIER, BRENNAN ADELUGBA, DARE RINK, RICHARD	ENVIRNL ENGINEER 2 80%	<div></div>				
		ENVIRNL ENGINEER 1					
		ENVIRNL ENGINEER 2					
		ENVIRNL ENGINEER 2					
TOTAL - SRF WATER			\$325,575.00	\$174,443.09	\$132,904.81	\$632,922.90	
GRAND TOTAL			\$482,091.00	\$258,304.37	\$143,601.60	\$883,996.97	
			Indirect Rate for Staff assigned to EFC				4.45%
			Indirect Rate for other DEC staff				26.58%
			Fringe Rate				53.58%

SOURCE OF STATE MATCH

NEW YORK STATE CLEAN WATER CAPITAL BUDGET

SFY	AMOUNT APPROPRIATED	CUMULATIVE
89-90 through 02-03	\$462,613,000	
03-04	\$30,174,000	\$492,787,000
04-05	\$28,893,000	\$521,680,000
05-06	\$29,602,000	\$551,282,000
06-07	\$29,600,000	\$580,882,000
07-08	\$29,600,000	\$610,482,000
08-09	\$29,600,000	\$640,082,000
09-10	\$29,600,000	\$669,682,000
10-11	\$29,600,000	\$699,282,000
11-12	\$35,000,000	\$734,282,000
12-13	\$35,000,000	\$769,282,000
13-14	\$35,000,000	\$804,282,000
14-15	\$35,000,000	\$839,282,000
15-16	\$35,000,000	\$874,282,000
	\$874,282,000	

REQUIRED STATE MATCH (@ 20%)

FFY	FEDERAL GRANT	STATE MATCH
89-90 through 02-03	\$2,309,586,281	\$461,917,255
03-04	\$146,280,420	\$29,256,084
04-05	\$118,939,293	\$23,787,859
05-06	\$96,656,373	\$19,331,275
06-07	\$118,135,611	\$23,627,122
07-08	\$75,108,221	\$15,021,644
08-09	\$75,109,023	\$15,021,805
ARRA*	\$432,564,200	\$0
09-10	\$224,898,000	\$44,979,600
10-11	\$162,993,000	\$32,598,600
"no year" CG funds	\$64,244,506	\$12,848,901
11-12	\$157,205,222	\$31,441,044
12-13	\$147,369,000	\$29,473,800
13-14	\$154,748,000	\$30,949,600
14-15	\$153,965,000	\$30,793,000
15-16	\$200,000,000	\$40,000,000
	\$4,637,802,150	\$841,047,589

SFY State fiscal year = April 1 to March 31

FFY Federal fiscal year = October 1 to September 30

*State match not required

CLEARINGHOUSE LETTERS

Attached are the following:

- List of Clearinghouse contacts who were contacted regarding the 2016 CWSRF Capitalization Grant.
- Sample letter from Michael Giovannone of NYSDEC dated **August 5, 2015**
- NYS Certification of Distribution of Application Review Package

Note that the comments/responses to the intergovernmental review process were directed to USEPA.

REVIEWING AGENCIES

The Application Review Package has been sent to the Reviewing Agencies checked below:

☐ United States Environmental Protection Agency Region II, Grants and Audit Management

AREAWIDE REVIEWING AGENCIES:

<input type="checkbox"/> ALBANY, RENNELAER, SCHENECTADY, SARATOGA	<input checked="" type="checkbox"/> GENESSE, LIVINGTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING	<input checked="" type="checkbox"/> ULSTER
<input checked="" type="checkbox"/> BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS	<input type="checkbox"/> JEFFERSON August 2013 response requested no further solicitation.	<input checked="" type="checkbox"/> WESTCHESTER
<input checked="" type="checkbox"/> CHAUTAUQUA, CATTARAUGUS, ALLEGANY	<input checked="" type="checkbox"/> ORANGE	<input type="checkbox"/> ALL COUNTIES
<input checked="" type="checkbox"/> CHEMUNG, SCHUYLER, STEUBEN	<input checked="" type="checkbox"/> OSWEGO, ONONDAGA, MADISON, CAYUGA	<input type="checkbox"/> NO APPLICABLE COUNTIES REVIEWING AGENCIES
<input type="checkbox"/> ERIE, NIAGARA	<input type="checkbox"/> PUTNAM	
<input type="checkbox"/> FRANKLIN	<input checked="" type="checkbox"/> ROCKLAND	

The undersigned certifies that an Application Review Package consisting of the items checked below has been sent to the required Reviewing Agencies for review.

- (1) FEDERAL FORM 424 (Box 16 must be completed)
- (2) PROJECT SUMMARY DESCRIBING PROPOSED ACTIVITIES
- (3) CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE
- (4) SITE LOCATION MAP (For construction projects only)
- (5) PROJECT INFORMATION FORM (For construction projects only)

This Application Review Package will not be processed unless this form is signed and dated below.


 Signature
 Director of Management and Budget
 Title

9/28/15
 Date signed

ADDRESSES

NY State Reviewing Agencies

<p>ALBANY, RENSSELAER, SCHENECTADY, SARATOGA</p> <p>Waive right to review all proposed projects</p>	<p>BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS</p> <p>Mr. Erik Miller, Director Southern Tier East Planning Board 375 State Street Binghamton, NY 13901-2385 Tel. (607)724-1327 x212 Fax (607)724-1194 Email: ste@steny.org Director.steny@gmail.com *Will accept electronic project proposals</p>
<p>CHAUTAUQUA, CATTARAUGUS, ALLEGANY</p> <p>Ms. Sarah Phearsdorf Southern Tier West RPB 4039 Route 219, Suite 200 Salamanca, NY 14779-9625 Tel. (716) 945-5301 Fax (716) 945-5550 Email: sphearsdorf@southerntierwest.org *Will accept electronic project proposals</p>	<p>CHEMUNG, SCHUYLER, STEUBEN</p> <p>Ms. Marcia Weber Southern Tier Central Regional Planning Bd. 8 Denison Parkway East, Suite 310 Corning, NY 14830 Tel. (607)962-5092 Fax (607)962-3400 Email: weber@stny.rr.com *Will accept electronic project proposals</p>
<p>COLUMBIA</p> <p>Waive right to review all proposed projects</p>	<p>DUTCHESS</p> <p>Waive right to review all proposed projects</p>
<p>ERIE, NIAGARA</p> <p>Waive right to review all proposed projects</p>	<p>FRANKLIN</p> <p>Waive right to review all proposed projects</p>

<p>FULTON</p> <p>Waive right to review all proposed projects</p>	<p>GENESSE, LIVINGSTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING</p> <p>David Zorn, Director Genesee/FingerLakes Regional Planning Cncl. City Place, 50 West Main Street, Suite 8107 Rochester, NY 14614 Tel. (585) 454-0190 Fax (585) 454-0191 *Will <u>not</u> accept electronic project proposals *Only reviewing proposals that are specific to Brownfields and Waste Water</p>
<p>GREENE</p> <p>Waive right to review all proposed projects</p>	<p>JEFFERSON</p> <p>Mr. Donald CanField Jefferson County Planning Dept. 175 Arsenal St. Watertown, NY 13601 Tel. (315)785-3144 Fax (315)785-5092 Email: donc@co.jefferson.ny.us *Will <u>not</u> accept electronic project proposals</p>
<p>LEWIS</p> <p>Waive right to review all proposed projects</p>	<p>MONTGOMERY</p> <p>Waive right to review all proposed projects</p>
<p>NASSAU</p> <p>Waive right to review all proposed projects</p>	<p>NEW YORK CITY and NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION</p> <p>Waive right to review all proposed projects</p>
<p>ORANGE</p> <p>Mr. David Church Orange County Planning Dept. 124 Main St. Goshen, NY 10924 Tel. (845) 615-3840 Fax (845) 291-2533 Email: Dchurch@orangecountygov.com *Will accept electronic project proposals</p>	<p>OSWEGO, ONONDAGA, MADISON, CAYUGA</p> <p>David Bottar, Executive Director Central New York Regional Planning Board 126 N. Salina Street Syracuse, NY 13202-1050 Tel. (315)422-8276 Fax (315)422-9051 Email: mail@cnyrpdb.org *Will <u>not</u> accept electronic project proposals</p>

PUTNAM Waive right to review all proposed projects	ROCKLAND Ms. Arlene Miller Rockland County Department of Planning Robert Yeager Health Center, Building T 50 Sanatorium Road Pomona, NY 10970 Tel. (845) 364-3434 Fax (845) 364-3435 Email: Millera@co.rockland.ny.us *Will accept electronic project proposals
ST. LAWRENCE Waive right to review all proposed projects	SUFFOLK Waive right to review all proposed projects
SULLIVAN Waive right to review all proposed projects	ULSTER Mr. Dennis Doyle Ulster County Planning Board Box 1800 244 Fair St. Kingston, NY 12401 Tel. (845) 340-3339 Fax (845) 340-3429 Email: planning@co.ulster.ny.us
WESTCHESTER Mr. Edward Buroughs Commissioner of Planning Westchester County Department of Planning 148 Martine Avenue, Room 432 White Plains, NY 10601-4704 Tel. (914) 995-4402 Email: EEB6@westchestergov.com *Will accept electronic project proposals *Only reviewing proposals with a threshold of \$200,000.	HERKIMER, ONEIDA Waive right to review all proposed projects CLINTON, ESSEX, HAMILTON, WARREN, WASHINGTON Waive right to review all proposed projects

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August 5, 2015

Mr. David Bottar, Executive Director
Central New York Regional Planning Board
126 N. Salina Street
Syracuse, NY 13202-1050

Dear Mr. Bottar:

Enclosed for your review and comment is the Federal Standard Form 424 "Application for Federal Assistance" as our request for intergovernmental review of the Federal Fiscal Year 2016 Clean Water State Revolving Fund Capitalization Grant application to the USEPA. Award of the proposed Federal Grant will enable the Department of Environmental Conservation to continue to capitalize the New York Clean Water State Revolving Fund. We are notifying Area-Wide Clearinghouses of our intent to apply for Federal aid for this program.

Please provide a response to this request by September 4, 2015. We have prepared a form to assist in your response that may be completed, signed and returned to Mr. Roch Baamonde at the address below. Please provide a copy of your response to Mr. Timothy P. Burns, P.E. at the address below.

Mr. Roch Baamonde, Chief
Grants & Audit Management Branch
USEPA Region 2
290 Broadway, 27th Floor
New York, New York 10007-1866

Mr. Timothy P. Burns, P.E.
Director, Engineering and Program Mgmt.
NYS Environmental Facilities Corporation
625 Broadway
Albany, NY 12207-2997

Should you have any questions, please feel free to contact Mr. William A. Brizzell, Jr., P.E., at (518) 402-6924.

Sincerely,



Michael Giovannone
Principal Accountant

Enclosures: a/s

c: Mr. Timothy P. Burns, P.E. - NYSEFC



Department of
Environmental
Conservation

New York State Clean Water State Revolving Fund
Clearinghouse/Review Agency Response

August 2015

This is in response to the intergovernmental review process regarding the 2016 Clean Water State Revolving Fund (CWSRF) Capitalization Grant application for the New York State to the USEPA.

- ☐ support the application
- ☐ support the application with attached comments
- ☐ comments attached

In addition please indicate if you wish to be contacted for future intergovernmental review of CWSRF Capitalization Grant application.

- ☐ We do NOT wish to be contacted for future intergovernmental reviews on this type of application in the future.
- ☐ YES, continue to include this clearinghouse in the intergovernmental review process.

(date)

Carol Faucher or David Bottar
Central New York Regional Planning Board

NEW YORK STATE REVIEW PROCESS
Certification of Distribution of Application Review Package

Pursuant to the Federal intergovernmental review requirements, the attached Application Review Package is submitted for your review.

Applicant/Agency Name: NYS Department of Environmental Conservation
Organizational Unit: Division of Water
Address: 625 Broadway
Albany, NY 12233-5022

Contact Person: Mr. Timothy P. Burns
Telephone Number: (518) 402-7396

CFDA Number: 66.458
Federal Program Name: Capitalization Grants for Clean Water State Revolving Funds
Project Name: Capitalization Grant to provide funds for the New York State Clean Water State Revolving Fund Program established pursuant to Title VI of the Clean Water Act

Federal Funding Agency Address: USEPA - Region 2
290 Broadway, 27th Floor
New York, New York 10007-1866

Federal Funds Requested: \$200,000,000

Application for Federal Assistance SF-424

* 1. Type of Submission:

☐ Preapplication
☒ Application
☐ Changed/Corrected Application

* 2. Type of Application:

☐ New
☒ Continuation
☐ Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: NYS Department of Environmental Conservation

* b. Employer/Taxpayer Identification Number (EIN/TIN):

14-6013200

* c. Organizational DUNS:

8067809120000

d. Address:

* Street1:

625 Broadway

Street2:

* City:

Albany

County/Parish:

* State:

NY; New York

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

12233-5022

e. Organizational Unit:

Department Name:

NYSDEC

Division Name:

Water

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

Mr.

* First Name:

Timothy

Middle Name:

P.

* Last Name:

Burns

Suffix:

Title: Director of Engineering and Program Management

Organizational Affiliation:

NYS Environmental Facilities Corporation

* Telephone Number: 518-402-7396

Fax Number:

* Email: timothy.burns@efc.ny.gov

Application for Federal Assistance SF-424

* 9. Type of Applicant 1: Select Applicant Type:

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

* 10. Name of Federal Agency:

Environmental Protection Agency

11. Catalog of Federal Domestic Assistance Number:

66.458

CFDA Title:

Capitalization Grants for Clean Water State Revolving Funds

* 12. Funding Opportunity Number:

EPA-CEP-01

* Title:

EPA Mandatory Grant Programs

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

* 15. Descriptive Title of Applicant's Project:

Capitalization Grant to provide funds for the New York State Clean Water State Revolving Fund Program established pursuant to Title VI of the Clean Water Act.

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="200,000,000.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text" value="40,000,000.00"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="240,000,000.00"/>

* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- ☒ a. This application was made available to the State under the Executive Order 12372 Process for review on
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☐ c. Program is not covered by E.O. 12372.

* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

☐ Yes ☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☐ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed: